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Approved for use through 3/31/2007. OMB 0651-0021

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

05627.0006.PCUS00

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

Not yet assigned

PRIORITY DATE CLAIMED

August 8, 2002

INTERNATIONAL APPLICATION NO.

PCT/US2003/024548

INTERNATIONAL FILING DATE

August 6, 2003

TITLE OF INVENTION

ISOLATION AND IDENTIFICATION OF T CELLS

APPLICANT(S) FOR DO/EO/US

Baylor College of Medicine and Opexa Pharmaceuticals, Inc.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Statement Pursuant to 37 CFR §1.821(f), Sequence Listing (3 pgs.), Letter Requesting Correction of Inventor's Name, and return-receipt postcard.

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
Not yet assigned <b>10/524300</b>		PCT/US2003/024548		05627.0006.PCUS00	

21. The following fees are submitted:				Applicant use	Office use only
<input checked="" type="checkbox"/> a) Basic national fee.....	\$300.00		\$ 300.00		
<input checked="" type="checkbox"/> b) Examination fee.....	\$200.00		\$ 200.00		
<input checked="" type="checkbox"/> c) Search fee.....	\$500.00		\$ 500.00		
<b>TOTAL OF ABOVE CALCULATIONS =</b>			\$ 1000.00		
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50 =		x \$250.00	\$ -0-	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ -0-	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	19 - 20 =	-0-	x \$50.00	\$	
Independent claims	3 - 3 =	-0-	x \$200.00	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 1000.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$ 500.00	
<b>SUBTOTAL =</b>				\$ 500.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$ -0-	
<b>TOTAL NATIONAL FEE =</b>				\$ 500.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$ 500.00	
Amount to be refunded:				\$	
Amount to be charged				\$	

a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 08-3038 in the amount of \$ 600.00 to cover the above fees. A duplicate copy of this sheet is enclosed.

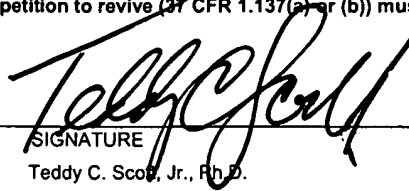
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 08-3038. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:  
 Howrey Simon Arnold & White LLP  
 IP Prosecution Docketing  
 2941 Fairview Park Drive, Box 7  
 Falls Church, VA 22042  
 Telephone: (703) 663-3600  
 Facsimile: (703) 336-6950

CUSTOMER NUMBER: 22930

  
 SIGNATURE  
 Teddy C. Scott, Jr., Ph.D.  
 NAME  
 53,573  
 REGISTRATION NUMBER

10/524300

Patent No.: 05627.0006.PCUS00

PT01 Rec'd PCT/PTC 04 FEB 2005

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"Express Mail" Mailing Label Number

EV 439402920 US

Date of Deposit February 4, 2005

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR §1.10 on the date indicated above and is addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Nathan Lee

(Typed or printed name of person mailing)

(Signature of person mailing)

Applicant(s): Jingwu Zhang Zang  
App. No.: Not yet assigned  
Confirmation No.: Not yet assigned  
Filing Date: Herewith  
Title: ISOLATION AND  
IDENTIFICATION OF T CELLS  
Art Unit: Not yet assigned  
Examiner: Not yet assigned

## LETTER REGARDING INVENTOR'S NAME

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Applicant notes that the inventor is listed on the papers submitted herewith as "Jingwu Zhang Zang." The inventor's name was incorrectly listed as Jingwu Z. Zhang on the priority application, U.S. Provisional Application No. 60/402,521, and the international patent application, PCT/US2003/024548, due to a clerical error. Applicant has submitted documents requesting correction of the spelling of the inventor's name for U.S. Provisional Application No. 60/402,521 and international patent application, PCT/US2003/024548, copies enclosed.

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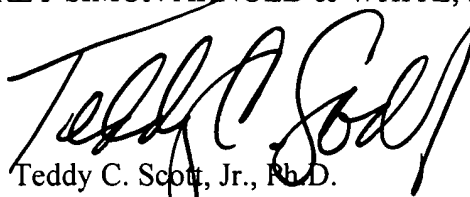
No fees are believed to be due in connection with the filing of this paper, however, should any fees be deemed necessary, the Commissioner is hereby authorized to deduct any such fees from Deposit Account No. 08-3038. referencing Attorney Docket No. 05627.0006.PCUS00.

Respectfully submitted,

HOWREY SIMON ARNOLD & WHITE, LLP

Dated: February 4, 2005

By:



Teddy C. Scott, Jr., Ph.D.

Registration No.: 53,573

Customer No.: 22930

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